

How-To-Tutorial for MoDOT's Consultant Prequalification Process

Why has MoDOT developed the Annual Financial Prequalification Process

MoDOT's has developed an Annual Financial Pre-Qualification process to ensure design consultants are in compliance with the state and federal regulations making business with MoDOT easier.

Requirements for consulting firms providing professional services

After January 1, 2013, prime consultants without a valid prequalification status will not be considered for architectural, engineering or land surveying RFQ opportunities.

Consultants are required to maintain any licenses or certifications listed in the pre-qualification package.

- Engineering related services provided by consultants doing business with MoDOT must meet the Prequalification Standards for MoDOT and Local Public Agency (LPA) contracts.
- Consulting firms must be qualified in the following areas:
 - Legal status
 - Accounting system
 - Capabilities
 - Specific technical experience
 - Licensing

Benefits of the pre-qualification

- Ensures compliance with the Federal Acquisition Regulations (FAR), which will make it easier to do business with MoDOT.
- Ensures that Consulting firms are qualified to perform specific contracting services.
- Quicker turn around time by MoDOT staff for contracts exceeding \$100,000.

Overview of Pre-Qualification submittal

The first thing consultants have to do is submit a complete pre-qualification package to MoDOT and receive approval to obtain prequalification status.

When:

Consultants should submit their pre-qualification package when their financial information reflects the most recent complete fiscal year and must be submitted no later than six months after the close of that fiscal year.

For example, the ABC Consulting firm's pre-qualification expiration date is June 30, 2011. ABC submits its complete pre-qualification package to MoDOT on or before April 15, 2012. Submitting a timely pre-qualification package ensures enough time to review the materials without ABC losing its prequalification status.

Six-Step Pre-qualification Process

Step 1 - Statement of Qualification document

Step 2 - Secretary of State – Registered to do business in MO
Certification of Good Standing

Step 3 -

- E-Verify Memorandum of Understanding (MOU) between your firm and the Department of Homeland Security. The MOU must include your firm's and DHS signatures to be valid (electronic signatures are accepted).
- Annual Worker Eligibility Verification Affidavit

Six-Step Pre-qualification Process

Step 4 – Financial information

- 4-1 Summary Information Sheet with supporting documentation
- 4-2 Overhead Rate Information
- 4-3 Compensation Analysis
- 4-4 Management Representation and Certification Form
- 4-5 Internal Control Questionnaire with supporting documentation

Step 5 – Basic Federal Aid Training

Information regarding scheduled training may be found on MoDOT's Local Public Agency website.

http://www.modot.mo.gov/business/lpa/cert_train.htm

Step 6 – Bridge Consultants Only – Bridge experience profile and personal bridge experience form must be completed. Information and forms may be found on MoDOT's Consultant Services webpage.

<http://www.modot.mo.gov/business/lpa/BridgeForms.htm>

Let's Get Started

Go to www.modot.gov

Internet Explorer provided by Microsoft

http://www.modot.mo.gov/index.htm

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Central Office
303 W. Capitol Avenue
Jefferson City, MO 65102
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(1-800-375-5636)

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TRAVELER INFORMATION

For weather-related road conditions and work zone locations, visit MoDOT's **Traveler Information Map**.



Statewide text report of road conditions

Tips for using the map

Real-Time Traffic

MoDOT's Gateway Guide

Kansas City MoDOT + MOHAWK SCOUT

OZARKSTRAFFIC.INFO

MAJOR PROJECTS

- Blue Ribbon Citizens Committee on Missouri's Transportation Needs
- I-70 Public-Private Partnership
- Safe & Sound Bridge Improvement Program
- I-64/US 40-61 Missouri River Bridge (Daniel Boone)
- Mississippi River Bridge

PROGRAMS & SERVICES


- DBE Consultant Networking Meeting
- Arrive Alive - SaveMOlives
- Partnership Development
- American Recovery and Reinvestment Act
- Bidding Opportunities
- Engineering Policy Guide
- External Civil Rights (DBE)
- Local Programs
- Consultant Services

Request a Highway Map

Report a Road Concern

Career Opportunities

YOUR LOCAL MODOT



DISTRICTS

- Northwest
- Northeast
- Kansas City
- Central
- St. Louis
- Southwest
- Southeast

NEWS & MEDIA

- Move Over Law Expands to Include MoDOT Maintenance Vehicles - 8/21/12
- Missouri Departments of Transportation, Ag Work to Allow Heavier Loads of Grain on Highways - 8/14/12
- Motorists Are Reminded to Drive Sober or Get Pulled Over - 8/14/12
- Traffic Will Increase as School Starts - 8/8/12
- MoDOT Signs to Report Roadway Fatality Numbers - 8/1/12

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Consultant Information

- Consultant Home
- Engineering Services Policy
- Solicitation (RFQ) Opportunities
- Consultant Prequalification Requirements
- Sub-Consultant Requirements
- Disadvantage Business Enterprise (DBE) Information
- Contact Us
- LPA Home



NEWS:

MoDOT & LPA Engineering Consultant Invoicing Requirements

The new LPA and MoDOT engineering consultant invoices are now required to be used. This requirement went into effect July 1, 2012. MoDOT has developed an Excel version of the invoice to replace the old Word version that was previously used. The new versions are currently available on MoDOT's website and can be found as listed below:

Title	Invoice	Checklist	Location on MoDOT's Website
MoDOT Consultant Invoice	Fig. 134.5.1.1	Fig. 134.5.1.2	EPG 134
MoDOT On-Call/Hourly Rate Invoice	Fig. 134.5.1.3	Fig. 134.5.1.4	EPG 134
LPA Consultant Invoice	Fig. 136.4.10	Fig. 136.4.18	EPG 136/LPA Manual Chapter 4

CLARIFICATION: For all existing contracts that have been previously invoiced (prior to July 1, 2012), the consultant only needs to show information on the current phase of the contract in the Progress Report section of the invoice. For example (see example below), if a consultant has completed preliminary plans, right of way plans, final plans, and is currently working on construction inspection; the invoice only needs to show the history on the construction inspection phase since that is the current phase of work.

For all new contracts that have not been previously invoiced (as of July 1, 2012), all information in the invoice must be filled out.
EXAMPLE (for existing projects only): Section 4: Progress Report - % Complete & DBE

	Total Costs (includes Salaries, Sub-Consultants & Direct Costs)			
Task	Total Budgeted	Total Expended to Date	Percent Expended (Budgeted/Expended)	Estimate % Task Complete (Deliverables)
Task 1-Preliminary Plans	completed	n/a	n/a	n/a
Task 2-Right of Ways Plans	completed	n/a	n/a	n/a

Consultant Home

Engineering Services
Policy

Solicitation (RFQ)
Opportunities

Consultant Prequalification
Requirements

Sub
Req



Forms & Documents

Prequalification Processes:

- [Standard Prequalification Process](#)
- [Hourly Rate Prequalification Process](#)
- [Approved Consultant Prequalification List](#)
- [Certification/Training](#)
- [Bridge Forms](#)

Standard Prequalification Process



The Missouri Department of Transportation (MoDOT) is performing financial prequalifications for engineering, architectural and land survey consultants who wish to provide professional services to MoDOT and the Local Program projects (city/county projects) utilizing federal funds.

The prequalification process was developed to comply with new AASHTO Guidelines published in the Uniform Audit & Accounting Guide-2010 Edition, which is a tool to assist firms with compliance of Code of Federal Regulations, Title 23 (23 CFR). This process also ensures MoDOT and Local Program projects are in compliance with state regulations.

MoDOT requires all consultants adhere to the guidelines set forth by the Department before being considered a pre-qualified consultant. These guidelines will give you the information you need to submit a complete pre-qualification application. Your firm will continue to be eligible to provide professional services to MoDOT and the Local Program. However, you will need to begin the prequalification process.

The next page will guide you through the Standard Prequalification process. [Click here to begin.](#)

Step 1: Statement of Qualifications

Standard Prequalification Process - Step 1

Annual Statement of Qualifications

Thank you for your interest in providing services to MoDOT

The Missouri Department of Transportation maintains a database of firms interested in providing engineering professional services to MoDOT. This database is populated utilizing the information on the Standard Form (SF) 254 or SF 330 Part II. To ensure you have the opportunity to provide services to MoDOT in the future, please update the form yearly, or as pertinent information changes. If you use SF 254, please be sure to submit an e-mail address for receiving solicitation information.

Questions may be directed to Sandra Riley at (573) 522-2002 or at Sandra.Riley@modot.mo.gov. Should a need for engineering professional services arise, we will contact you by the e-mail address submitted with the SF 254 or SF 330 Part II.

- [Form 254-Architects-Engineer and Related Services Questionnaire](#)

OR

- [Form 330 Part II only-Architects-Engineer and Related Services Questionnaire](#)

PROVIDE A COPY OF THE FORM 254 OR FORM 330 PART II



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PROVIDE:

A copy of your Certificate of Good Standing from the Missouri Secretary of States Office.

Step 1: Statement of Qualifications

The submittal of the SF 254 or SF 330 Part II allows your firm to be added to the Design Consultant Distribution list, which electronically notifies participants of newly posted solicitations. Your firm will need to provide either the SF 254 or the SF330 Part II. Both forms are not necessary.

You may also contact Sandra.Riley@modot.mo.gov to be added to the list.

Solicitations may be found on MoDOT's Home Page under Programs and Services – Consultant Services – Solicitation (RFQ) Opportunities.

Step 2: Secretary of State – Certificate of Good Standing

Standard Prequalification Process – Step 2

Secretary of State Certificate of Good Standing (Registration to do business in Missouri)


Missouri Revised Statutes, Chapter 351, General and Business Corporations - <http://www.moga.mo.gov/statutes/c351.htm>

Your firm must be registered to do business and be in good standing to be eligible to provide professional services.

To obtain a Certificate of Good Standing contact the Secretary of State Office toll free at (866) 223-6535 or visit <http://www.sos.mo.gov>.

Questions may be directed to Sandra Riley at (573) 522-2002 or at Sandra.Riley@modot.mo.gov.

PROVIDE A COPY OF YOUR CERTIFICATE OF GOOD STANDING

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PROVIDE:

A copy of your Certificate of Good Standing from the Missouri Secretary of States Office.

Step 3: E-Verify

Standard Prequalification Process - Step 3

MoDOT Projects

Your firm must participate in the Department of Homeland Security Worker Eligibility E-Verify Program.

State Statute

<http://www.moga.mo.gov/statutes/c200-299/2850000530.htm>

- [Annual Worker Eligibility Affidavit Form](#)
- [DHS Federal Work Authorization Program E-Verify](#)

PROVIDE:

A copy of the Annual Worker Eligibility Affidavit and at a minimum, the 1st page and signature page(s) of the E-Verify MOU showing your firm's signature and the DHS signature

Questions may be directed to Sandra Riley at (573) 522-2002 or at Sandra.Riley@modot.mo.gov



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PROVIDE:

A copy of the Annual Worker Eligibility Verification Affidavit and at a minimum, the 1st page and signature page(s) of the E-Verify MOU.

Step 4: Financial Information – 4-1 Summary Information Sheet

Standard Prequalification Process - Step 4

Financial Information

For assistance in completing the following financial documents, refer to the Helpful links or direct questions to External Audits at (573) 751-7446.

Financial information should reflect the most recent completed fiscal year and must be submitted no later than six months after the close of that fiscal year.

1. Summary Information Sheet

If your firm's overhead rate is **not audited**, please submit the following documents:

- overhead rate schedule
- income statement
- balance sheet
- general ledger account balances
- tax returns
- any other pertinent financial information that supports the overhead schedule

2. Overhead Rate Information - Sample Format

List of Common Unallowable Costs

3. Instructions for Compensation Analysis

If your firm has **not completed** a compensation analysis, submit a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid

Helpful Links

[AASHTO Uniform Audit & Accounting Guide](#)

[Federal Acquisition Regulations](#)

[Instructions for Submitting Overhead Rate Information](#)

[List of Common Unallowable Costs](#)

[Instructions for Completing the ICQ - Please consult your accountant or call External Audit at \(573\) 751-7446 for assistance to complete this form](#)

[Federal Order 4470.1A - Establish Indirect Cost on Engineering Design-Related Services](#)

[National Compensation Matrix](#)

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

Indirect cost or **overhead** is the normal cost of doing business, such as office rent, utilities, insurance, accounting, and legal expenses. Indirect cost or overhead do not include the cost of any goods sold that directly relate to the products or services for sale.

MoDOT recommends that all consultants use a computer-based accounting program with an integrated database. This type of system allows consultants to provide accurate and complete job cost information.

NOTE:

You are required to submit your pre-qualification package within six months of the fiscal year end for as long as your firm would like to maintain a valid prequalification Status.

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

The overhead rate schedule must be prepared in accordance with the Federal Acquisition Regulations (FAR), 48 CFR Part 31, and clearly show adjustments to remove unallowable costs.

[Listing of Common Unallowable Costs \(EPG Fig. 134.6.1.1\)](#)

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

A sample overhead schedule may be found in the ASSHTO Audit Guide Chapter 5 and see Helpful links for a link to the common unallowable costs

TABLE 5-5: SAMPLE OVERHEAD SCHEDULE

SAMPLE CONSULTING COMPANY, Inc.
Statement of Direct Labor, Fringe Benefits, and General Overhead
For the Year Ended December 31, 201x

Account Number & Description	General Ledger Account Balance	Direct Costs	Disallowed Costs	Proposed Company Wide	% of Direct Labor
DIRECT LABOR	\$ 1,950,501	\$ 1,950,501	\$ -	\$ 1,950,501	100.00%
INDIRECT COSTS:					
FRINGE BENEFITS:					
6300 Benefits: Bonuses	\$ 234,060	\$ -	\$ (28,560) (a)	\$ 205,500	10.54%
6310 Benefits: 401(k)	97,525	-	-	97,525	5.00%
6320 Benefits: PTO (vac., sick, and holiday)	253,565	-	-	253,565	13.00%
6820 Insurance: Disability	58,515	-	-	58,515	3.00%
6830 Insurance: Life	21,846	-	(800) (b)	21,046	1.08%
6840 Insurance: Medical	136,535	-	-	136,535	7.00%
6850 Insurance: Workers' Comp.	15,799	-	-	15,799	0.81%
7500 Payroll Taxes: FICA and Med.	180,421	-	-	180,421	9.25%
7510 Payroll Taxes: FUTA and SUTA	78,020	-	-	78,020	4.00%
TOTAL FRINGE BENEFITS	\$ 1,076,286	\$ -	\$ (29,360)	\$ 1,046,926	53.67%
GENERAL OVERHEAD					
6700 Indirect Labor	\$ 741,190	\$ -	\$ (3,300) (c)	\$ 737,890	37.83%
5010 Direct: Lodging, Meals, and Travel	122,101	(122,101)	- (d)	-	0.00%
5020 Direct: Employee Mileage Reimbursements	159,941	(159,941)	- (d)	-	0.00%
5030 Direct: Rentals and Supplies	21,651	(21,651)	- (d)	-	0.00%
5040 Direct: Subconsultants	44,862	(44,862)	- (d)	-	0.00%
6000 Advertising and Marketing	23,991	-	(6,750) (e)	17,241	0.88%
6100 Automobile Expense	68,268	-	(13,580) (f)	54,688	2.80%
6200 Bank Service Charges	9,753	-	-	9,753	0.50%
6400 Contributions and Gifts	14,629	-	(14,629) (g)	-	0.00%
6500 Depreciation Expense	117,030	-	-	117,030	6.00%
6600 Dues and Subscriptions	16,189	-	(350) (h)	15,839	0.81%
6800 Insurance: Automobile	15,409	-	-	15,409	0.79%
6810 Insurance: Business Liability	23,406	-	-	23,406	1.20%
6900 Interest Expense	36,084	-	(36,084) (i)	-	0.00%
7000 Licenses and Permits	21,456	-	-	21,456	1.10%
7100 Maintenance and Repairs	97,135	-	-	97,135	4.98%
7200 Meals & Entertainment	19,310	-	(1,050) (j)	18,260	0.94%
7300 Misc. Fees, Fines, Penalties	6,827	-	(6,827) (k)	-	0.00%
7400 Office Expense: Cleaning	8,192	-	-	8,192	0.42%
7410 Office Expense: Postage and Delivery	4,486	-	-	4,486	0.23%
7420 Office Expense: Office Supplies	32,183	-	-	32,183	1.65%
7430 Office Expense: Other Office Expense	35,889	-	-	35,889	1.84%
7600 Personal Property Tax	42,911	-	-	42,911	2.20%
7700 Prof Fees: Accounting and Legal	30,428	-	-	30,428	1.56%
7800 Rent	180,049	-	(2,400) (j)	177,649	9.11%
7900 Telephone	60,466	-	-	60,466	3.10%
8000 Utilities	29,472	-	-	29,472	1.51%
Credit for Internal Allocations	-	-	(107,278) (m)	(107,278)	-5.50%
TOTAL GENERAL OVERHEAD	\$ 1,983,306	\$ (348,555)	\$ (192,247)	\$ 1,442,505	73.96%
TOTAL INDIRECT COSTS & OVERHEAD RATE	\$ 3,059,593	\$ (348,555)	\$ (221,607)	\$ 2,489,431	127.63%

FAR References and Notes:

- (a) 31.205-6(a)(5)(i)(B): Owners' compensation in excess of reasonable amount is disallowed (distribution of profits).
 (b) 31.205-19(e)(2)(v): Officers' life insurance is disallowed.
 (c) 31.201-6(e)(2): Marketing, lobbying, and any labor associated with unallowable activities is disallowed.
 (d) 31.202: Excluded direct project costs (both billable & non-billable costs) from indirect cost pool.
 (e) 31.205-1: Costs for general marketing materials are disallowed.
 (f) 31.205-6(m)(2) & 31.205-46(d): Personal use of a company asset (automobile) is disallowed.
 (g) 31.205-8 & 31.205-13(b): Contributions and gifts are disallowed.
 (h) 31.205-22: Lobbying costs, paid as a percentage of professional dues, are disallowed.
 (i) 31.205-20: Interest is disallowed.
 (j) 31.205-14 & 31.205-51: Costs for entertainment and alcoholic beverages are disallowed. (The entertainment cost principle supersedes all others.)
 (k) 31.201-4, 31.205-15, & 31.205-20: Disallowed late fees; Government imposed fines and penalties; and credit card interest.
 (l) 31.205-36(b)(3): Related-party rent (not an arm's-length transaction) is limited to actual cost of ownership, net of interest and other unallowable items.
 (m) 31.202: Direct costs segregated and removed from indirect cost pool.

More detail overhead preparation information can be found in the AASHTO Uniform Audit and Accounting Guide available at the AASHTO website <http://audit.transportation.org/Documents/UNIFORM%20AUDIT%20AND%20ACCOUNTING%20GUIDE%202010.pdf>.

► For Audits of Architectural and Engineering (A/E) Consulting Firms ◀

UNIFORM AUDIT & ACCOUNTING GUIDE

2010 Edition

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

There are five types of indirect cost (Overhead Rate) Submittals:

1. Overhead rate is audited by state DOT or federal agency
2. Overhead rate is audited by CPA
3. Home state issued cognizant letter along with the audit report
4. Overhead rate is not audited but detailed overhead rate schedule has been developed
5. MoDOT provisional rate

SUMMARY INFORMATION SHEET

Name of Company: _____
Contact Person: _____
Company Address: _____

Phone Number: _____
Fax Number: _____

Company's Fiscal Year End: _____
Annual Gross Revenues (most recent completed fiscal year: _____
Annual Gross Expenditures (most recent completed fiscal year: _____
Company's Home State: _____
Number of Full Time (FTE) employees: _____
Number of states company operates in: _____

Overhead Rate Information: (please check one)

- ☒ Overhead rate is audited by state DOT or federal agency (please provide latest audit)
- ☐ Overhead rate is audited by CPA (please provide latest audit)
- ☐ Home state has issued a cognizant letter along with audit report (please provide overhead rate audit and cognizant letter)
- ☐ Overhead rate is not audited but detailed overhead rate schedule has been developed. (Please provide overhead rate schedule, income statement, balance sheet, general ledger account balances, tax returns and any other pertinent financial information that supports the overhead schedule)

Pending FHWA Approval

- ☐ MoDOT provisional rate. (The provisional overhead was developed for firms who do not have a calculated FAR overhead schedule. Firms opting to use the provisional rate must begin to compile a full fiscal year of actual costs to develop a FAR overhead schedule to be used in the next financial prequalification package). Attach letter stating acceptance by your firm to use the MoDOT provisional overhead rate.

Executive Compensation (please check one)

- ☐ Compensation Analysis submitted and on file with home state
Provide: Contact name & phone number of home state representative
- ☐ Compensation Analysis completed, not filed with home state, but provided to CPA firm completing overhead audit
Provide: Acknowledgement from CPA that the compensation analysis was provided and the CPA firm has reviewed it for compliance with the requirements contained in the AASHTO Uniform Audit and Accounting Guide.
- ☐ Compensation Analysis completed but not provided to either the home state or a CPA firm
Provide: Compensation analysis results to MoDOT along with executive pay table.
- ☐ Compensation Analysis not completed
Provide: a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid.

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

1. Overhead rate is audited by state DOT or federal agency.

PROVIDE:
Latest audit

NOTE:

Audit staff may request additional financial information to verify the information contained in the audit report. Audit staff may review the working papers prepared by the CPA to support the audit report.

SUMMARY INFORMATION SHEET

Name of Company: _____
Contact Person: _____
Company Address: _____

Phone Number: _____
Fax Number: _____

Company's Fiscal Year End: _____
Annual Gross Revenues (most recent completed fiscal year: _____
Annual Gross Expenditures (most recent completed fiscal year: _____
Company's Home State: _____
Number of Full Time (FTE) employees: _____
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Provide: Compensation analysis results to MoDOT along with executive pay table.
- ☐ Compensation Analysis not completed
Provide: a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid.

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

2. Overhead rate is audited by CPA

Audit Report

A written opinion of an independent certified public accountant that a company's Financial statements are a fair representation of the company's financial performance and financial position. The auditor's report is required for each corporation whose stock is publicly-traded.

Audited Financial Statements

Financial statements that bear the report of independent auditors attesting to the financial statements' fairness and compliance with generally accepted accounting principles.

The audit letter will contain language similar to the following:

“The accompanying statement was prepared on a basis of accounting practices prescribed by Part 31 of the Federal Acquisition Regulations (FAR) and is not intended to be a presentation in conformity with accounting principles generally accepted in the United States of America.”

Continue....

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

2. Overhead rate is audited by CPA - continued

PROVIDE:
Latest audit

NOTE:

Audit staff may request additional financial information to verify the information contained in the audit report. Audit staff may review the working papers prepared by the CPA to support the audit report.

SUMMARY INFORMATION SHEET

Name of Company: _____
Contact Person: _____
Company Address: _____

Phone Number: _____
Fax Number: _____

Company's Fiscal Year End: _____
Annual Gross Revenues (most recent completed fiscal year: _____
Annual Gross Expenditures (most recent completed fiscal year: _____
Company's Home State: _____
Number of Full Time (FTE) employees: _____
Number of states company operates in: _____

Overhead Rate Information: (please check one)

- ☐ Overhead rate is audited by state DOT or federal agency (please provide latest audit)
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- ☐ Overhead rate is not audited but detailed overhead rate schedule has been developed. (Please provide overhead rate schedule, income statement, balance sheet, general ledger account balances, tax returns and any other pertinent financial information that supports the overhead schedule)

Pending FHWA Approval

- ☐ MoDOT provisional rate. (The provisional overhead was developed for firms who do not have a calculated FAR overhead schedule. Firms opting to use the provisional rate must begin to compile a full fiscal year of actual costs to develop a FAR overhead schedule to be used in the next financial prequalification package). Attach letter stating acceptance by your firm to use the MoDOT provisional overhead rate.

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- ☐ Compensation Analysis not completed
Provide: a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid.

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

3. Home state issued cognizant letter along with audit report:

The term "cognizant approved indirect cost rate" refers to the indirect cost rate established by an audit performed in accordance with GAGAS to test compliance with the FAR cost principles (as specified in 48 CFR 31) and accepted by a cognizant Federal or State agency.

The law requires the cognizant agency to be either a Federal or State government agency (as defined in 23 CFR 172.3).

PROVIDE

- Cognizant Letter from state/federal agency
- Audited Overhead Schedule and audit report
- Cognizant agency's accepted Overhead Schedule adjusted to conform with MoDOT rules and regulations
- Cognizant agency's Overhead Schedule acceptance letter (Letter of Concurrence)

A letter from another state/federal agency is not a cognizant letter if it contains the following terms: Pending - Reviewed – Provisional - Intended only for the use of ...

SUMMARY INFORMATION SHEET

Name of Company: _____
Contact Person: _____
Company Address: _____

Phone Number: _____
Fax Number: _____

Company's Fiscal Year End: _____
Annual Gross Revenues (most recent completed fiscal year: _____
Annual Gross Expenditures (most recent completed fiscal year: _____
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Overhead Rate Information: (please check one)

- ☐ Overhead rate is audited by state DOT or federal agency (please provide latest audit)
- ☐ Overhead rate is audited by CPA (please provide latest audit)
- ☐ Home state has issued a cognizant letter along with audit report (please provide overhead rate audit and cognizant letter)
- ☐ Overhead rate is not audited but detailed overhead rate schedule has been developed. (Please provide overhead rate schedule, income statement, balance sheet, general ledger account balances, tax returns and any other pertinent financial information that supports the overhead schedule)

Pending FHWA Approval

- ☐ MoDOT provisional rate. (The provisional overhead was developed for firms who do not have a calculated FAR overhead schedule. Firms opting to use the provisional rate must begin to compile a full fiscal year of actual costs to develop a FAR overhead schedule to be used in the next financial prequalification package). Attach letter stating acceptance by your firm to use the MoDOT provisional overhead rate.

Executive Compensation (please check one)

- ☐ Compensation Analysis submitted and on file with home state
Provide: Contact name & phone number of home state representative
- ☐ Compensation Analysis completed, not filed with home state, but provided to CPA firm completing overhead audit
Provide: Acknowledgement from CPA that the compensation analysis was provided and the CPA firm has reviewed it for compliance with the requirements contained in the AASHTO Uniform Audit and Accounting Guide.
- ☐ Compensation Analysis completed but not provided to either the home state or a CPA firm
Provide: Compensation analysis results to MoDOT along with executive pay table.
- ☐ Compensation Analysis not completed
Provide: a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid.

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

4. Overhead rate is not audited but detailed overhead rate schedule has been developed

If the firm **does not have an overhead rate audit issued by either a state/federal agency or a CPA firm**, it must provide a detailed FAR compliant overhead schedule based on the most recently completed fiscal year's actual costs along with the following supporting financial documents:

- overhead rate schedule
- income statement
- balance sheet
- general ledger account balances
- tax returns
- any other pertinent financial information that supports the overhead schedule

For questions regarding the overhead rate submission, please contact Audits and Investigations Division, 573-751-7446.

SUMMARY INFORMATION SHEET

Name of Company: _____
Contact Person: _____
Company Address: _____

Phone Number: _____
Fax Number: _____

Company's Fiscal Year End: _____
Annual Gross Revenues (most recent completed fiscal year: _____
Annual Gross Expenditures (most recent completed fiscal year: _____
Company's Home State: _____
Number of Full Time (FTE) employees: _____
Number of states company operates in: _____

Overhead Rate Information: (please check one)

- ☐ Overhead rate is audited by state DOT or federal agency (please provide latest audit)
- ☐ Overhead rate is audited by CPA (please provide latest audit)
- ☐ Home state has issued a cognizant letter along with audit report (please provide overhead rate audit and cognizant letter)
- ☐ Overhead rate is not audited but detailed overhead rate schedule has been developed. (Please provide overhead rate schedule, income statement, balance sheet, general ledger account balances, tax returns and any other pertinent financial information that supports the overhead schedule)

Pending FHWA Approval

- ☐ MoDOT provisional rate. (The provisional overhead was developed for firms who do not have a calculated FAR overhead schedule. Firms opting to use the provisional rate must begin to compile a full fiscal year of actual costs to develop a FAR overhead schedule to be used in the next financial prequalification package). Attach letter stating acceptance by your firm to use the MoDOT provisional overhead rate.

Executive Compensation (please check one)

- ☐ Compensation Analysis submitted and on file with home state
Provide: Contact name & phone number of home state representative
- ☐ Compensation Analysis completed, not filed with home state, but provided to CPA firm completing overhead audit
Provide: Acknowledgement from CPA that the compensation analysis was provided and the CPA firm has reviewed it for compliance with the requirements contained in the AASHTO Uniform Audit and Accounting Guide.
- ☐ Compensation Analysis completed but not provided to either the home state or a CPA firm
Provide: Compensation analysis results to MoDOT along with executive pay table.
- ☐ Compensation Analysis not completed
Provide: a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid.

Step 4-2 Financial Information – Overhead Rate Information (cost of doing business)

5. MoDOT provisional rate

The provisional overhead rate was developed for firms who do not have one year of detailed actual costs to develop an overhead schedule. Firms opting to use the provisional rate must begin to compile actual costs to develop an overhead schedule to be used in the next year.

PROVIDE:

Letter stating acceptance by firm to use the MoDOT's provisional overhead rate.

SUMMARY INFORMATION SHEET

Name of Company: _____
Contact Person: _____
Company Address: _____

Phone Number: _____
Fax Number: _____

Company's Fiscal Year End: _____
Annual Gross Revenues (most recent completed fiscal year: _____
Annual Gross Expenditures (most recent completed fiscal year: _____
Company's Home State: _____
Number of Full Time (FTE) employees: _____
Number of states company operates in: _____

Overhead Rate Information: (please check one)

- ☐ Overhead rate is audited by state DOT or federal agency (please provide latest audit)
- ☐ Overhead rate is audited by CPA (please provide latest audit)
- ☐ Home state has issued a cognizant letter along with audit report (please provide overhead rate audit and cognizant letter)
- ☐ Overhead rate is not audited but detailed overhead rate schedule has been developed. (Please provide overhead rate schedule, income statement, balance sheet, general ledger account balances, tax returns and any other pertinent financial information that supports the overhead schedule)

Pending FHWA Approval

- ☐ MoDOT provisional rate. (The provisional overhead was developed for firms who do not have a calculated FAR overhead schedule. Firms opting to use the provisional rate must begin to compile a full fiscal year of actual costs to develop a FAR overhead schedule to be used in the next financial prequalification package). Attach letter stating acceptance by your firm to use the MoDOT provisional overhead rate.

Executive Compensation (please check one)

- ☐ Compensation Analysis submitted and on file with home state
Provide: Contact name & phone number of home state representative
- ☐ Compensation Analysis completed, not filed with home state, but provided to CPA firm completing overhead audit
Provide: Acknowledgement from CPA that the compensation analysis was provided and the CPA firm has reviewed it for compliance with the requirements contained in the AASHTO Uniform Audit and Accounting Guide.
- ☐ Compensation Analysis completed but not provided to either the home state or a CPA firm
Provide: Compensation analysis results to MoDOT along with executive pay table.
- ☐ Compensation Analysis not completed
Provide: a table showing the position titles of all the executives, total wages paid including taxable fringe benefits, and total bonuses paid.

Step 4-3 Financial Information – Executive Compensation (Analysis)

Total compensation generally includes allocable and allowable wages, salaries, bonuses, deferred compensation, and employer contributions to defined contribution pension plans. Individual elements of compensation must be reviewed for allowability in compliance with the FAR.

FAR31.205-6 distinguishes between allowability and reasonableness of compensation. It lists specific requirements for the allowability of certain elements of compensation. For an element of compensation to be allowable, it must meet the FAR requirements specific to that element. The total of all allowable compensation elements must be reasonable for the work performed.

The consultant should prepare a compensation analysis. The consultant must disallow costs in excess of the amount deemed reasonable as determined by the compensation study.

Additional information may be found in the AASHTO Uniform Audit & Accounting Guide (2010 Edition) Chapter 7/Compensation.

Step 4-3 Financial Information – Executive Compensation (Analysis)

1. Compensation Analysis submitted and on file with home state.

PROVIDE:

Contact name and phone number of home state representative.

2. Compensation Analysis completed, not filed with home state, provided to CPA firm completing overhead audit.

PROVIDE

Acknowledgement from CPA that the compensation analysis was provided and the CPA firm has reviewed it for compliance with the requirements contained in The AASHTO Uniform Audit and Accounting Guide.

Step 4-3 Financial Information – Executive Compensation (Analysis)

3. Compensation Analysis completed, not filed with home state, provided to CPA firm completing overhead audit.

PROVIDE

Acknowledgement from CPA that the compensation analysis was provided and the CPA firm has reviewed it for compliance with the requirements contained in The AASHTO Uniform Audit and Accounting Guide.

4. Compensation Analysis completed but not provided to either the home state or a CPA firm.

PROVIDE

Compensation analysis to MoDOT along with executive pay table.

5. Compensation Analysis not completed

PROVIDE

Submit a table showing the position titles of **all** the executives, total wages paid Including taxable fringe benefits, and total bonuses paid .

Step 4-4 Financial Information Management Representation and Certification

MANAGEMENT REPRESENTATION AND CERTIFICATION

Firm Name:

Fiscal Year End:

We are providing this letter in connection with the overhead rate, financial information, internal control questionnaire and other information provided to the Missouri Department of Transportation for the purpose of establishing an acceptable overhead rate calculated in accordance with the Federal Acquisition Regulations. We confirm we are responsible for the information provided.

I, the undersigned, attest that the Schedule of Indirect Costs or Overhead Rates and all related schedules have been prepared in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of title 48, Code of Federal Regulations (CFR). The above-mentioned schedules and related documentation do not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR, Part 31.

All known material transactions or events that have occurred affecting the firm's ownership, organization and indirect cost rates have been disclosed. The undersigned recognizes that the information is submitted for the express purpose of allowing the Missouri Department of Transportation to administer contract(s) with the above named firm. I attest that the information submitted is true, accurate and complete.

<input type="text"/>	<input type="text"/>	<input type="text"/>
Print Name	Official Signature	Date

<input type="text"/>	<input type="text"/>
Title	Telephone Number

Step 4-4 Financial Information - Management Representation and Certification

- FHWA Policy on Contractor Certification of Costs in accordance with Federal Acquisition Regulations (FAR) to Establish Indirect Cost Rates on Engineering and Design-related Services Contracts dated October 27, 2010.
- Policy requires consultant and contractor certification of the cost used to establish indirect cost rate for application to Federal-aid engineering and design-related services contracts.
- The requirement apply to all prime and sub-consultants .

Step 4-5 Financial Information – Internal Control Questionnaire (ICQ)

AASHTO Internal Control Questionnaire (ICQ) for Consulting Engineers

This is one of the most important documents in the pre-qualification package. If not completed correctly by answering all of the questions or does not include requested documents (i.e. policies, sample timesheet...), the firm's pre-qualification approval may be delayed or suspended.

If you are unsure about how to answer the questions, seek assistance from your CPA or call MoDOT's Audits and Investigations Division at 573-751-7446.

Provide: A completed signed copy of the ICQ

INSTRUCTIONS FOR COMPLETING THE AASHTO INTERNAL CONTROL QUESTIONNAIRE

The questionnaire is a fillable form and information can be entered directly onto the form. The questionnaire requires company policies to be submitted with this questionnaire. These policies must be submitted as separate attachments. Please answer all questions completely to ensure MoDOT can obtain a good understanding of the firm's practices and procedures.

Please indicate the name, address, and phone number or email address of someone who can be contacted for information.

Any questions in regard to this document can be directed to External Audit, 573-751-7446.

Step 4 - Financial Information Checklist

HOME >> BUSINESS >> CONSULTANT RESOURCES >> STANDARD PREQUALIFICATION PROCESS - CHECKLIST

Standard Prequalification Process - Checklist

Please ensure that all of the listed items are included in your pre-qualification submittal

Questions may be directed to Sandra Riley at (573) 522-2002 or at Sandra.Riley@modot.mo.gov

check box when the documents are ready for submittal	Item
<input type="checkbox"/>	Annual Statement of Qualifications (SF254 or SF330 Part II)
<input type="checkbox"/>	SOS - Certification of Good Standing
<input type="checkbox"/>	DHS E-Verify MOU signed by firm and DHS
<input type="checkbox"/>	Notarized Annual Worker Eligibility Verification Affidavit
<input type="checkbox"/>	Summary Information Sheet and supporting financial documentation
<input type="checkbox"/>	Overhead Rate Schedule
<input type="checkbox"/>	Management Representation and Certification
<input type="checkbox"/>	Internal Control Questionnaire to include policies and sample timesheets
<input type="checkbox"/>	Compensation Analysis Information


This concludes the Standard Prequalification Process.

Please submit all completed prequalification documents to:

Missouri Department of Transportation
ATTN: Sandra Riley, Design Division
P.O. Box 270
105 W. Capitol
Jefferson City, MO 65102-0270

Or email completed prequalification documents to Sandra.Riley@modot.mo.gov.

 [Previous Page](#)

[Main Page](#) 

After completing the pre-qualification package, review the checklist to ensure all the required documents have been included in the submission.

Electronic submissions are preferred.

Step 4 Financial Information – Overhead Rate Information (cost of doing business)

My financial pre-qualification package has been sent to MoDOT

What happens next?

Once the pre-qualification package has been received, the documents are reviewed by MoDOT'S Audits and Investigations Division and the firm is issued an accepted overhead rate that must be used on MoDOT and LPA contracts.

The [Approved Annual Financial Pre-qualification Approval List](#) may be viewed at the MoDOT Consultant Services – Consultant Pre-Qualification Requirements.

This list includes your firm's expiration dates for the pre-qualification, E-Verify, and Federal Aid Basic Training.

HOME >> BUSINESS >> CONSULTANT RESOURCES >> CONSULTANT PREQUALIFICATION REQUIREMENTS

Consultant Prequalification Requirements

Consultant Home	Engineering Services Policy	Solicitation (RFQ) Opportunities	Consultant Prequalification Requirements	Sub-Consultant Requirements	Disposal & Enterprise In
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Forms & Documents

Prequalification Processes:

- Standard Prequalification Process
- Hourly Rate Prequalification Process
- Approved Consultant Prequalification List
- Certification/Training
- Bridge Forms

Approved Annual Financial Pre-Qualification List

Pre-Qualification Documents should be submitted 90 prior to the posted expiration date

Pending indicates the firms Pre-qual Package is being reviewed by MoDOT's Audit Division

Consultant Name	City	State	Pre-Qual Expiration Date	MoDOT E-Verify Expiration Date	DBE Status
AECOM Technical Services, Inc.	Chicago	IL	pending	6/6/13	N
ABNA Engineering, Inc.	St. Louis	MO	9/30/12	1/17/13	Y
Access Engineering, LLC	St. Louis	MO	pending	10/25/12	Y
Affinis Corporation	Overland Park	KS	3/7/13	11/14/12	N
AFRAM Corporation	St. Louis	MO	pending	1/6/13	Y
Allgeier, Martin & Associates, Inc.	Joplin	MO	pending	6/14/13	N

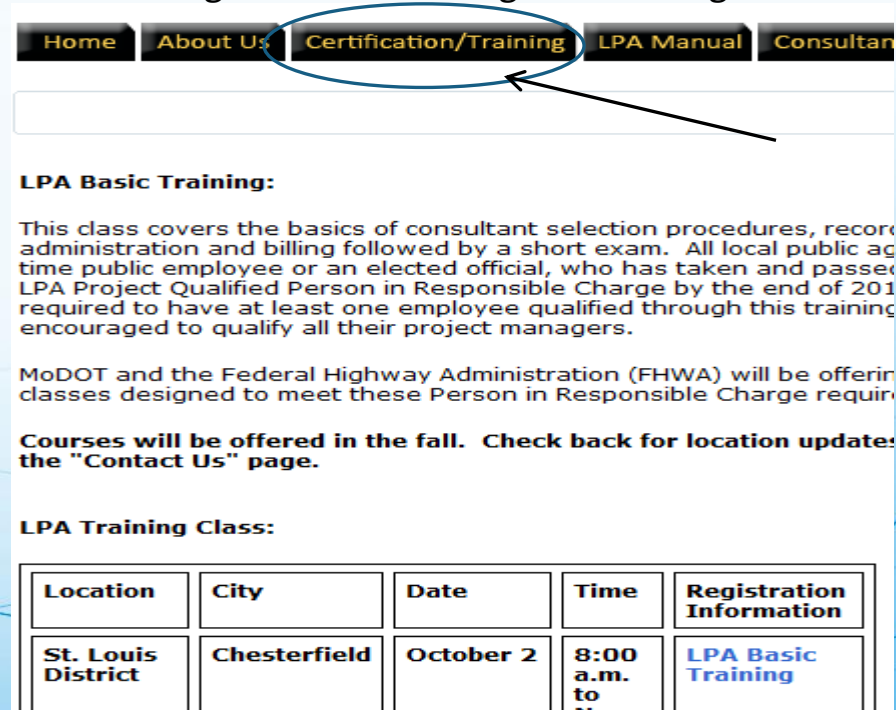
Step 5 LPA Basic Training

LPA Basic Training:

http://www.modot.mo.gov/business/lpa/cert_train.htm

This class covers the basics of consultant selection procedures, record keeping, contract administration and billing followed by a short exam. All local public agencies must have a full time public employee or an elected official, who has taken and passed the course, to serve as an LPA Project Qualified Person in Responsible Charge by the end of 2012. Consulting firms are also required to have at least one employee qualified through this training and are strongly encouraged to qualify all their project managers.

MoDOT and the Federal Highway Administration (FHWA) will be offering additional training classes designed to meet these Person in Responsible Charge requirements.



LPA Basic Training:

This class covers the basics of consultant selection procedures, record keeping, contract administration and billing followed by a short exam. All local public agencies must have a full time public employee or an elected official, who has taken and passed the course, to serve as an LPA Project Qualified Person in Responsible Charge by the end of 2012. Consulting firms are also required to have at least one employee qualified through this training and are strongly encouraged to qualify all their project managers.

MoDOT and the Federal Highway Administration (FHWA) will be offering additional training classes designed to meet these Person in Responsible Charge requirements.

Courses will be offered in the fall. Check back for location updates on the "Contact Us" page.

LPA Training Class:

Location	City	Date	Time	Registration Information
St. Louis District	Chesterfield	October 2	8:00 a.m. to Noon	LPA Basic Training

Step 6 Bridge forms

Consultant interested in providing bridge related services will need to complete the Bridge forms located on the Consultant Services webpage under the Consultant Pre-qualification Requirements tab.

Consultant Prequalification Requirements

Consultant Home	Engineering Services Policy	Solicitation (RFQ) Opportunities	Consultant Prequalification Requirements	Sub-Consultant Requirements
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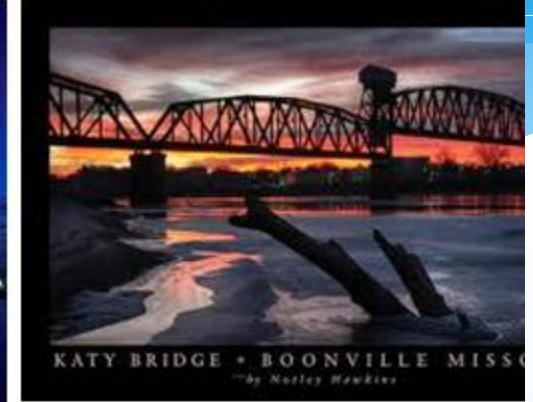


Forms & Documents

Prequalification Processes:

- [Standard Prequalification Process](#)
- [Hourly Rate Prequalification Process](#)
- [Approved Consultant Prequalification List](#)
- [Certification/Training](#)
- [Bridge Forms](#)

Bridge Forms



[Bridge Experience Profile \(PDF\)](#)

[Bridge Experience Profile \(Word\)](#)

[Personal Bridge Experience Record \(PDF\)](#)

[Personal Bridge Experience Record \(Word\)](#)

[Consultant Bridge Time/Cost Card \(PDF\)](#) New!

[Consultant Bridge Time/Cost Card \(Word\)](#) New!

Submit completed form(s) to:
Missouri Department of Transportation
Bridge Division
P.O. Box 270
105 W Capitol
Jefferson City, MO 65102-0270

Electronic submissions may be emailed to:
Joyce.Foster@modot.mo.gov

Additional Information Sub-consultant requirements

My firm only provides services as a sub-consultant. Do I need to complete the pre-qualification package?

No, however you must comply with state and federal requirements and if your firm routinely provides sub-consultant service **>25,000**, MoDOT encourages firms to become pre-qualified to ensure compliance with the Federal Acquisition Regulations (FAR), which will make it easier to do business with MoDOT.

Sub-consultant Requirements

1. Registered to do business in Missouri through Secretary of State's Office and that the sub-consultant firm has a Certification of Good Standing.
2. Participates in the federal work authorization program known as E-Verify and completes an Annual Worker Eligibility Verification Affidavit.
3. Completes a Management Representation and Certification Form.

Sub-consultant cost estimate requirements:

- **If >25K** that a detailed cost plus fixed fee estimate and an overhead rate breakdown and supporting documentation.
- **If < 25K** a proposal letter stating the methodology of how the estimate of costs for the services were developed.

THE END - Thank you

Contacts:

Jerica Holtsclaw - 573-526-8484
MoDOT Design Division

Audits and Investigation Division
573-751-7446